

**TOP**

**SECTION 1**

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**(BLUE)**





Washington, DC 20460  
**Preaward Compliance Review Report for  
All Applicants Requesting Federal Financial Assistance**

FORM Approved  
OMB No. 2090-0014  
Expires 4-30-99

**Note: Read instructions before completing form.**

I. A. Applicant (Name, City, State) <b>Building Performance Institute, Malta, NY</b>	B. Recipient (Name, City, State)	C. EPA Project No. <b>66.034</b>
II. Brief description of proposed project, program or activity. <b>To develop a national infrastructure for whole-house contractor certification to deliver energy efficient home improvement services.</b>		
III. Are any civil rights lawsuits or complaints pending against applicant and/or recipient? If yes, list those complaints and the disposition of each complaint. <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
IV. Have any civil rights compliance reviews of the applicant and/or recipient been conducted by any Federal agency during the two years prior to the application for activities which would receive EPA assistance? If yes, list those compliance reviews and status of each review. <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
V. Is any other Federal financial assistance being applied for or is any other Federal financial assistance being applied to any portion of this project, program or activity? If yes, list the other Federal Agency(s), describe the associated work and the dollar amount of assistance. <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		
VI. If entire community under the applicant's jurisdiction is not served under the existing facilities/services, or will not be served under the proposed plan, give reasons why. <b>The project will be open to all residential contractors and homeowners in the United States. The project is designed to build an infrastructure capable of nationwide delivery.</b>		
VII. Population Characteristics		Number of People
1. A. Population of Entire Service Area		
B. Minority Population of Entire Service Area		
2. A. Population Currently Being Served		
B. Minority Population Currently Being Served		
3. A. Population to be Served by Project, Program or Activity		
B. Minority Population to be Served by Project, Program or Activity		
4. A. Population to Remain Without Service		
B. Minority Population to Remain Without Service		
VII. Will all new facilities or alterations to existing facilities financed by these funds be designed and constructed to be readily accessible to and usable by handicapped persons? If no, explain how a regulatory exception (40 CFR 7.70) applies. <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No		
Give the schedule for future projects, programs or activities (or of future plans), by which services will be provided to all beneficiaries within applicant's jurisdiction. If there is no schedule, explain why. <b>All BPI programs and activities are open to all residential contractors and homeowners in the United States. The project is designed to build an infrastructure capable of nationwide delivery.</b>		
X. I certify that the statements I have made on this form and all attachments thereto are true, accurate and complete. I acknowledge that any knowingly false or misleading statement may be punishable by fine or imprisonment or both under applicable law.		
A. Signature of Authorized Official 	B. Title of Authorized Official <b>Executive Director</b>	C. Date <b>05/21/04</b>
For the U.S. Environmental Protection Agency		
<input type="checkbox"/> Approved <input type="checkbox"/> Disapproved	Authorized EPA Official	Date



**Attachment A****BPI STAKEHOLDER ALLIANCE MEMBER ORGANIZATIONS**

The following organizations have indicated their commitment to participate on the proposed BPI Stakeholder Alliance to support BPI's efforts to create a national infrastructure for delivery of whole house contracting services.

<u>Organization</u>	<u>Contact Person</u>	<u>State</u>
Affordable Comfort	Helen Perrine	PA
Arizona (Foundation for Senior Living)	Carrie Smith	AZ
Association of Energy Professionals	Bill Weitzenfeld	VA
Association for Energy Affordability	Dave Hepinstall	NY
Bacharsch	Bob Dwyer	PA
Boulder Design Alliance	Rob deKieffer	CO
Building Performance Center	Dave Finet	WA
Building Science Corporation	Betsy Pettit	MA
Clover Heating and Cooling	Anthony Marmo	NY
COAD	Mike Keyes	OH
CSG	Steve Cowell	MA
DHCR	Tom Carey	NY
Energy Federation, Inc.	Brad Steele	MA
E-Star Colorado	Kristen Shewfelt	CO
Home Energy	Mary James	CA
IBACOS	Duncan Prah	PA
IBTS	Schyam Choudhary	VA
ICF	Mike Mernick	DC
INCAA	Ed Gerardot	IN
Interstate Renewable Energy Council	Jane Weissman	MA
KBSI	Doug Walter	KS
Missouri (DNR)	Anita Randolph	MO
NABCEP	Pete Sheehan	NY
NAHB Research Center	Rich Dooley	MD
NATE	Rex Boynton	DC
National Energy Raters Association	Joshua Hull	MD
National Grid	Laura McNaughton	MA
NRCERT	Bill Beachy	VA
NYSERDA/LIPA	Bob Callender	NY
Ohio (Department of Development)	Tim Linehan	OH
Peregrine	John Snell	MA
Proctor Engineering Group	John Proctor	CA
RESNET	Steve Baden	CA
Southface	Dennis Creech	GA
VEIC	Ken Tohinaka	VT
Vermont Office of Economic Opportunity	Jules Junker	VT





### 9. Reporting Requirements

Quarterly progress reports will be submitted to the EPA Project Manager. These reports will include a summary of the project's progress to date and a discussion of problems encountered, lessons learned, and proposed solutions. Where possible, project accomplishments will be quantified and progress toward achieving major milestones will be noted.

#### MAJOR MILESTONES:

- ☐ Transition to revised accreditation model
- ☐ Revision of existing standards (BA-I, Shell, Heating)
- ☐ Implementation of standardized job title maintenance process
- ☐ Affiliate representation in all major geographic regions
- ☐ Affiliate representation in all major climate zones
- ☐ Completion of HERS/BPI coordinated certification path
- ☐ Initiation of trades-based outreach campaign (HVAC, remodelers, other potential trades)
- ☐ Implementation of field-based QA pilot
- ☐ Completion of field-based QA pilot and reporting of results
- ☐ Initial deployment of ISO-9000 based QA system





As BPI launches its national expansion campaign, there are lessons to be learned from the initial 2 years of implementation of the accreditation model. An initial field-based quality assurance pilot was conducted in 2002, the results of which, combined with direct feedback from participating contractors and program implementers provides a basis for evaluating the effectiveness of the original model. BPI has identified a number of areas where the original accreditation model does not adequately respond to the needs of the market. To address these concerns, a detailed, proposed revision plan has been developed with an expected transition to occur late in 2004. A summary of the areas identified for potential revision is presented in Table 1.

Element	Issues Identified	Proposed Actions (preliminary draft)
STAFF CERTIFICATION	Need to ensure that the contractor's production staff, at all levels, is provided with adequate training and/or certification to carry-out BPI compliant work for the company.	Review which staff members are required to receive training and/or certification and identify appropriate resources to integrate this requirement into the initial accreditation process and annual maintenance requirements.
BPI WORK	Need improved definition of where and when BPI standards are required.	Develop a more specific (and realistic) description of what the compliance criteria are. Include provisions for transitional periods for companies at start-up and exclusions for work that is governed by a separate third-party contract.
DIAGNOSTIC REQUIREMENTS	Need improved definition of where and when diagnostic tests are required, including specific minimum requirements.	Develop minimum diagnostic and inspection requirements for every job that are responsive to typical contractor business models, including those that will not support comprehensive whole-house audits at the initial visit to every home.
CUSTOMER PROPOSALS AND DISCLOSURE	Need to define how whole-house proposals and evaluation/diagnostic results are communicated to the homeowner.	Develop staff training and materials for contractors to use including boilerplate language and proposal/bid templates which allow for appropriate disclosure of problem conditions identified.
DATA REPORTING	The existing data reporting system for QA is onerous for the contractor and redundant to some program requirements. Need to develop system that ensures minimum data is being collected and can be reviewed by BPI for QA purposes.	Review minimum data requirements and revise list to match minimum diagnostic and inspection requirements. Provide guidance for how data can be documented and develop system to review all documentation annually on-site by BPI staff or representatives.
FEE STRUCTURE	The existing fee structure is insufficient to cover the costs of all services proposed in the new model.	Develop an annual fee structure that is developed using a cost-recovery model, including provisions for fee-for-service work that is above and beyond the standard annual package.
RISK MANAGEMENT	There are no specific criteria for performance-based QA modifications. Suspension and delisting procedures exist but can be enhanced using a more robust risk management approach.	Develop a performance-based system which allows for increased and/or reduced oversight, depending on a contractor's historical performance.

Table 1 -- Proposed Accreditation Revision

In addition to the enhanced elements described above, BPI proposes to implement changes to the existing accreditation model to create a more advanced and rigorous QA system. This includes working with Proctor Engineering Group and BPI's Technical Committee to create specific criteria for the contractor's internal quality assurance program which will be used to qualify existing QA systems and assist the contractor in adopting appropriate policies and procedures. BPI will implement on a pilot basis, the use of field based QA systems and to evaluate the benefits of incorporating the use of such third-party systems.





**TASK 4: SUMMARY**

QUALITY ASSURANCE FOR CERTIFICATION AND ACCREDITATION

To enhance the worker certification and contractor accreditation quality assurance systems, BPI will work with the NAHB Research Center, Proctor Engineering Group, and Southface Energy Institute to accomplish each of the following tasks:

- To develop and implement enhanced certification renewal criteria and de-listing procedures compliant with nationally accepted standards (e.g. NSSB, ANSI);
- To create and implement enhanced contractor performance review criteria and procedures using an ISO 9000 based approach
- To develop allowable quality assurance system criteria including critical elements required for accreditation, and revise the existing performance standards for accredited contractors
- To implement affiliate-based pilots to evaluate field-based QA systems for viability when used in the context of BPI accreditation and the BPI QA system criteria developed under this project

**TASK 4: BACKGROUND**

ACCREDITATION AND QUALITY ASSURANCE

BPI accreditation of contractors provides a basis for programs and consumers to obtain services that are consistent with BPI standards. This process takes certification to the next level by taking competency-tested workers and providing a model under which the companies they work for require compliance with BPI's performance standards. A key provision of accreditation is the requirement for a quality assurance system. BPI proposes to develop a standardized set of criteria based on the Guiding Principles developed by the Technical Advisory Council and quality management theory which may be used to enhance the existing requirements for accreditation. The existing model requires that each firm's QA process is subject to QC carried out by BPI, BPI Affiliate Organizations, or other authorized third parties. QC includes annual auditing of each accredited firm's business, technical review and customer service procedures as well as field inspections and customer complaint resolution.

BPI Accreditation challenges the organizational framework of the home construction and repair industry. Institutional changes may need to be incremental as many firms may not be able to invest in the needed organizational changes on a large scale before there is a critical mass of consumers who are asking for and willing to pay for these services. As the accreditation model evolves, it will allow for a realistic transformation of the contracting marketplace without compromising the integrity of the BPI label. This includes providing for participation at the trades level as well as for contractors who have built their entire business around an integrated whole-house approach; and to allow for a staged transition into building performance contracting that will minimize the risk of entry while encouraging participation by a variety of businesses.

Accreditation of contractors was introduced as a BPI service in 2001. The existing system was designed to respond to a need defined by the emerging Home Performance with ENERGY STAR program. BPI's primary activity in this program to date has been in the state of New York. In addition, a small pilot version is underway in the greater Kansas City region. In 2003, Massachusetts also adopted a version of Home performance using BPI accredited contractors for certain utility-sponsored energy conservation programs operated in that state.





the Specialist certifications. Specialist includes advanced diagnostics and supervisory work in a specific area of expertise. The certification job designations currently available through BPI are defined as follows:

- **TECHNICIAN CERTIFICATIONS:**
  - **Building Technician I (BT-I)** -- insulation and air sealing installations
  - **Heating Technician I (HT-I)** -- retrofit and repair services to central heating systems
- **ANALYST CERTIFICATION:**
  - **Building Analyst I (BA-I)** -- whole-house auditor, including basic performance testing and house as a system principles and applications; basis for all Specialist level certifications
- **SPECIALIST CERTIFICATIONS:**
  - **Shell Specialist** -- advanced diagnostics, ventilation system applications and supervisory insulation, air sealing and envelope related services
  - **Heating Specialist** -- advanced diagnostics, system design, and supervisory retrofit and repair related to central heating systems
  - **AC and Heat Pump Specialist** -- advanced diagnostics, system design, and supervisory retrofit and repair to refrigerant based central heating and cooling systems
  - **Mobile Homes Specialist** -- advanced diagnostics and supervisory retrofit and repair services for mobile homes
  - **Multi-family Building Analyst** -- auditing and energy analysis for multi-family buildings

Health and safety and space-conditioning energy savings are the primary focus of the existing certification paths. All are designed to promote a systems approach to home improvement including performance testing of installed measures. Electrical baseload evaluation, although not currently detailed within the existing job designations, is under development in conjunction with VEIC. Additional development of this skill area will occur with funding through the proposed EPA project. In addition, one of the key goals of the technical revision process will be to actively engage organizations with technical expertise in hot climates to ensure the relevance of BPI services nationwide.

BPI certification requires successful completion of a 2 or 3-part examination process. All certifications require a written, knowledge-based, exam and a performance exam. BA-I and many of the Specialist certifications also include an analytical component requiring demonstrated competency at collecting and analyzing data and creating a presentation report with recommended strategies for performance upgrades.

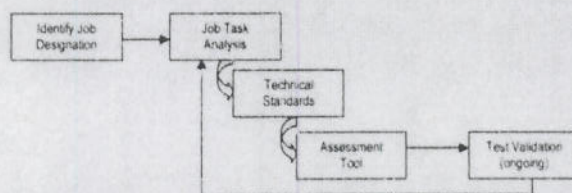


Figure 2 -- BPI Certification Development Cycle

date and relevant to the current state of the contracting industry

With the resources provided by this grant, BPI proposes to initiate a formal review and revision of the existing certifications that are more than 3 years old and to develop an on-going maintenance cycle for all BPI job designations. This will ensure that all job designations are kept up to



**TASK 3: SUMMARY****TECHNICAL DEVELOPMENT: STANDARDS AND JOB TITLE REVISION, VALIDATION, AND MAINTENANCE**

Under this project, BPI will review, revise, and validate current certification products for existing job designations, expand the job titles offered in response to market needs. A standardized process for updating the standards and assessment tools will be developed and implemented. BPI requires funding to conduct job task analyses, standards revision, and to develop procedures for maintenance of the standards and validation of assessment item banks and instruments. In addition to BPI's Technical Committee, BPI will work directly with Southface Energy Institute to assist in the development of standards relevant to warm climates. All activities conducted within this task will be completed in accordance with nationally recognized standards for accredited certification bodies as defined by organizations like the National Skills Standards Board (NSSB) and the American National Standards Institute (ANSI). This will allow BPI to begin the process of satisfying the requirements for these national accreditations.

**TASK 3: BACKGROUND****TECHNICAL DEVELOPMENT**

The residential energy efficiency community is increasingly conscious of the need for nationally accepted standards for building performance. As a result, we are at an unprecedented juncture where the opportunity exists to create an approach to building performance supported by industry-wide consensus. Establishing BPI as the vehicle for achieving this will require outreach to stakeholder organizations already engaged in the development of regional or program-specific standards. This work will include reaching out to topic area experts and technical organizations to review existing standards against the emerging BPI standards and resolve any differences that are identified through a consensus process.

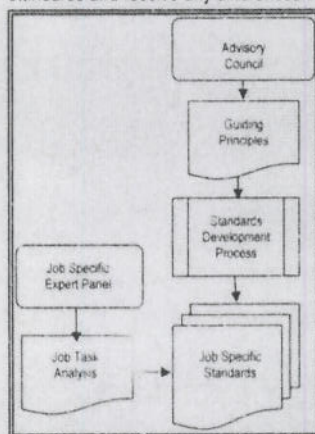


Figure 1 -- BPI Technical Development Process

The BPI Technical Advisory Council represents the technical leadership of the building science community. By expanding this council and using an organized development process, BPI will create a set of Guiding Principles for building performance that will provide guidance for all of BPI's job-specific standards. Job titles will be developed using this guidance and a validated job task analysis. Topic area experts will be recruited to complete the core development of each task analysis and related standards. The standards created by the Expert Panels will be reviewed by the BPI Technical Committee, a volunteer body consisting of representatives from BPI Affiliate Organizations, strategic partners, researchers, contractors, government, utilities, and manufacturers. As nationally accepted standards are developed, it is anticipated that related best practices will also emerge. These best practices will provide additional application guidance for BPI contractors.

**TECHNICIAN CERTIFICATION**

BPI offers three certification levels: Technician, Analyst, and Specialist. Technicians are installation crew workers focused on quality installation practices. Analyst is a broad-based job designation covering fundamental building science and diagnostic applications and is required for any of





**BUILDING PERFORMANCE INSTITUTE, INC.**

FINAL APPLICATION  
EPA SOLICITATION OAR-CPPD-04-02

**BUILDING PERFORMANCE CENTER – Bellingham, WA**

- Statewide WAP training and certification plus market-based initiatives

**VERMONT ENERGY INVESTMENT CORPORATION – Burlington, VT**

- Efficiency Vermont program coordination with Home Performance with ENERGY STAR

BPI will use this network to create more regional areas of activity with qualified contractors who provide building performance services to consumers. With assistance from EPA, BPI will expand the Affiliate network to ultimately be capable of delivering BPI services locally in all U.S. geographic regions (Northeast, Southeast, Mid-west, Central/Mountain, Southwest, and Northwest) and climate zones (cold, mixed, hot-humid, hot-dry).

Part of the work to be completed in this project is to specifically define the Affiliate role related to the delivery of accreditation and quality assurance services provided locally by the Affiliate. This will require affiliate participation in the final development of a revised accreditation process and delivery model. The overall goal is for Affiliate organizations to provide local oversight and technical support for accredited contractors. Typically, this will include performing field evaluations, annual audits, and site inspections for accredited contractors. BPI will maintain control over the enforcement of all standards and accreditation requirements and will assist with technical support by providing access to the collective knowledge of the BPI staff and Technical Committee members. The Affiliate staff members will be trained on BPI procedures and will use standardized forms for reporting information back to BPI based on their assessments of contractor activities. This includes documentation of problem jobs and customer issues as well as routine evaluation results.

To ensure the Affiliate network is properly supported in carrying out this work, BPI will utilize the Affiliate Council, a representative board of the current BPI Affiliate organizations, as a means for communication and to assist in development of Affiliate-related policies. In addition, BPI will assist in ensuring the needs of the Affiliates are being met and seeking out opportunities for expanded BPI related services in all Affiliate regions.

Participating Affiliates will, in many cases, be associated to third-party program initiatives that can facilitate the introduction of BPI services and the whole-house concept on a regional level. To support the introduction of the BPI model into the marketplace, BPI will work with public agencies and utilities to integrate certification and accreditation as a value-added element of their program delivery.





**TASK 2: SUMMARY**

**AFFILIATE NETWORK BUSINESS DEVELOPMENT**

To expand the affiliate-based delivery model, BPI requires funding to support activities related to recruitment, training, and qualification of new affiliates. Coordination with the Affiliate Advisory Council will be formalized to finalize the development of documented affiliate roles and responsibilities. This process will provide guidance to ensure appropriate delivery of BPI services for technician certification and contractor accreditation supported by training, technical support, and/or quality assurance services. Affiliate related tasks also include development of affiliate policies and procedures that support a variety of affiliate business models and enable BPI to provide certification and accreditation services to a wide variety of markets and programs nationwide. These procedures include evaluating the role BPI should take in the review of training services.

**TASK 2: BACKGROUND**

**AFFILIATE NETWORK**

BPI's national delivery infrastructure is based on a network of BPI Affiliate organizations that are qualified to deliver BPI services. These services include delivery of certification assessments as well as related mentoring, technical support, and quality assurance tasks as defined by BPI. Affiliates provide BPI services using standardized protocols, scripts, and forms for exam administration and QA activities related to contractor accreditation. Affiliates transfer the data collected locally to BPI headquarters for scoring, evaluation, and decision-making.

All BPI standards, assessment tools, procedures, candidate data, and credentials remain solely under BPI's authority. All affiliate staff members who will proctor exams are required to first earn the certification they will be proctoring, complete an orientation process with BPI, and sign a code of ethics concerning handling of all exams and appropriate proctoring procedures. Although many affiliates also provide training services, this system allows for local delivery of BPI services by qualified individuals while maintaining an arm's length relationship between certification and training necessary to protect the credibility of the certification itself. Annual site visits conducted by BPI staff members helps to ensure these standards are being maintained on an on-going basis.

BPI currently has Affiliate Organizations in six states. These organizations provide services in three different geographic regions and two different climate zones. Major activities are listed below:

**ASSOCIATION FOR ENERGY AFFORDABILITY -- New York, NY**

- NYCHA Advanced Heating Plant Specialist
- Curriculum developer for new BPI Multi-family Auditor, Operations, and Heating System Designer certifications

**CORPORATION FOR OHIO APPALACHIAN DEVELOPMENT -- Athens, OH**

- Statewide WAP Certifications -- (offered as a test-out alternative to required refresher training)

**INDIANA COMMUNITY ACTION ASSOCIATION -- Indianapolis, IN**

- Statewide WAP Certifications -- (required by the state)

**KANSAS BUILDING SCIENCE INSTITUTE -- Manhattan, KS**

- Home Performance with ENERGY STAR Kansas City and St. Louis, Missouri WAP





EPA funding will allow BPI to initiate specific strategies to work cooperatively with these organizations to the benefit of the building performance community. Examples of projects include:

- BPI proposes to work directly with RESNET to develop a clear certification path for technicians with both BPI and HERS Rater certification that builds off of each agency's consensus based standards. It is anticipated that this relationship will be further supported by extending the existing reciprocal agreement between Northeast HERS Alliance and BPI to apply other regions. (The current agreement waives BPI's written test requirement for BA-I for certified Home Energy Raters certified through NE-HERS and allows certified BA-I's to obtain NE-HERS certification without being required to show further evidence of their field experience.)
- BPI is currently working with Home Energy to develop a series of consumer-based fact sheets that may be used by accredited contractors to accurately convey the most important issues related to building performance to their customers. In addition, Home Energy will assist in the development of BPI's targeted outreach and recruitment of contractors, affiliates, and programs through strategic placements in the magazine and the development of regional contractor profiles based on data collected by Home Energy via national surveys.
- BPI will coordinate with EEBA to utilize their seminar-based training series for continuing educations for BPI contractors and to enlist assistance in developing a series of technical "white papers" for existing homes to complement EEBA's existing white papers for new construction.
- BPI will continue to work closely with ACI through direct participation in their program planning for national and regional conferences and to utilize ACI as a key resource for development of BPI's technical and affiliate network. ACI will assist BPI in conducting stakeholder forums that will allow BPI to stay in touch with the needs of the industry.
- BPI will work directly with all of these organizations to develop improved communications with stakeholders as part of our outreach campaign to educate contractors and consumers, as well as to solicit input and feedback from key industry stakeholder groups.





of quality building performance work and emphasize the importance of treating the house as a system to improve energy efficiency, safety, durability and comfort.

To further enhance and formalize the relationship to our stakeholder base, BPI proposes to develop a stakeholder alliance that is committed to supporting the BPI mission and vision. This group would recognize BPI as the umbrella organization for development and delivery of performance-based credentials and standards for the industry. Companies belonging to this group include BPI contractors and affiliates, program administrators, energy services companies, utilities, and government agencies. The stakeholder alliance provides a platform for industry feedback into the BPI development and implementation processes and serves as a conduit to the industry to ensure broad-based acceptance of BPI's products and services. At the time of this writing, over 30 organizations in 15 states have committed to participation in this alliance. A complete listing of organizations committed to participating in this alliance is provided in **Attachment A**.

#### STRATEGIC PARTNERSHIPS

In addition to the stakeholder alliance, BPI will develop formal relationships with key organizations that share similar goals in the form of strategic partnerships. Through strategic partnerships, BPI and its trade allies will create opportunities to leverage resources and networking opportunities to facilitate rapid and sustained development of a national building performance contracting industry.

One strategic partnership BPI currently enjoys is with North American Technician Excellence (NATE). By supporting NATE's trade-based certification and coupling their efforts to support quality workmanship in the HVAC trades with BPI's whole-house approach, the HVAC industry will be provided a gateway to building performance based on a sound foundation of skilled and experienced workers. With support from EPA, BPI and NATE will be enabled to build off this strategic partnership to promote NATE exams under BPI's heating and cooling related certifications, coordinate our certification development, and leverage our relationship to bring both quality work practices and building performance to the HVAC industry.

In another key partnership opportunity, BPI and the National Association for Home Builders Research Center (NAHB-RC) are exploring a similar relationship to that shared by BPI and NATE. With BPI's support of NAHB-RC's activities to promote quality work in the building trades, the two organizations can work cooperatively to bring the message of home performance to the building and remodeling industry. This could potentially open up an entirely new market for whole-house contracting. A stronger connection to the remodeling industry can also help BPI to form additional cross-trades alliances between residential contractors with a goal toward providing consumers access to high-performance homes strategies from a wider variety of market sectors.

In addition, BPI will expand and enhance existing relationships with Affordable Comfort, Inc. (ACI), Energy and Environmental Builders Association (EEBA), Home Energy Magazine, and the Residential Energy Services Network (RESNET). These organizations share similar missions to BPI and represent a wide variety of industry professionals invested in the building performance industry. Initial meetings have been held of this emerging coalition to determine how we can best work together to leverage our networks and resources to reduce redundancies and provide consistent and complementary programs and services to the building performance industry at large.





## **5. NARRATIVE WORK PLAN:**

BPI has established services in several areas related to technician competency testing, development and deployment of standards, and quality assurance of services delivered by contractors carried out through a corporate accreditation model. The work completed under this project will build off of the foundation already established through BPI's existing services and experience with implementation of a variety of programs based on these services. It is BPI's intention to sub-contract work, as described below, to the project partners named in this proposal. Additional sub-contractors may be included to carry-out the necessary work. All sub-contract agreements, contract terms, and final scope of work are to be determined and hiring and negotiations will be carried out in compliance with all federal procurement regulations, where applicable.

The project will address 4 major areas of activity as described below:

### **5.2 KEY PROJECT ACTIVITIES**

#### **TASK 1: DESCRIPTION**

##### **OUTREACH AND STAKEHOLDER SUPPORT**

To build stake-holder support and promote transformation of the market to support home performance certification and contractor accreditation, BPI will promote building performance and educate market players by:

- Creating and implementing an advisory council structure which encourages and supports input from the BPI stakeholder alliance and define the relationship of this group to the BPI Board of Directors
- Attending and actively participating in national and regional conferences and meetings to promote building performance and whole-house contracting;
- Conducting targeted meetings with industry trade associations to educate and solicit feedback, and
- Creating cooperative relationships with technical, government, and other industry leaders.

Supporting activities include the development of educational materials and technical white papers to be made available to consumers, contractors, and program providers and enhancement of the BPI website ([www.bpi.org](http://www.bpi.org)) to create an interactive resource for building performance with cooperative links to existing resources available via the internet. BPI proposes to carry-out this task with assistance from Affordable Comfort, EEBA, RESNET, and Home Energy Magazine.

#### **TASK 1: BACKGROUND**

##### **OUTREACH AND COMMUNICATIONS**

A strong national network for delivery of BPI services will increase the visibility and enhance the credibility of the whole-house technician certification provided by BPI. Increased brand-recognition will assist regional and state based programs not only by improving the quality of work performed within the programs, but also by enhancing the credibility of the contractor base delivering program services. This credibility improves consumer confidence and provides a structured means for workforce development for the emerging building performance industry. BPI's proposed targeted marketing and outreach campaign strategy will include consumer outreach and contractor support to effectively provide third-party advocacy





BUILDING PERFORMANCE INSTITUTE, INC.

FINAL APPLICATION  
EPA SOLICITATION OAR-CPPI-04-02

**1. PROJECT TITLE:** NATIONAL CERTIFICATION PROGRAM FOR WHOLE-HOUSE CONTRACTORS

**2. SUBMITTED BY:**

BUILDING PERFORMANCE INSTITUTE, INC.  
10 Hermes Road, Suite 200  
Malta, NY 12020  
Phone: 518.899.2727  
Fax: 518.899.1622  
Primary Contact: Courtney Moriarty, Executive Director  
Email: courtney@bpi.org

**3. FUNDING REQUESTED:**

The total amount of federal funds requested from EPA is \$1,000,000.00.

**4. PROJECT PERIOD:**

September 2004 to September 2007



**CERTIFICATION REGARDING LOBBYING**

**CERTIFICATION FOR CONTRACTS, GRANTS,  
LOANS, AND COOPERATIVE AGREEMENTS**

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including sub-contracts, sub-grants, and contracts under grants, loans, and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31 U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Typed Name & Title of Authorized Representative

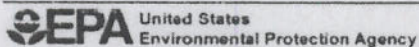
*COURTNEY MCKRIART, EXECUTIVE DIRECTOR*

Signature of Authorized Representative

*Courtney McKriart* 5/21/2011

Date





EPA Project Control Number

United States Environmental Protection Agency  
Washington, DC 20460

**Certification Regarding  
Debarment, Suspension, and Other Responsibility Matters**

The prospective participant certifies to the best of its knowledge and belief that it and the principals:

- (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
- (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- (c) Are not presently indicted for otherwise criminally or civilly charged by a government entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
- (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State, or local) terminated or cause or default.

I understand that a false statement on this certification may be ground for rejection of this proposal or termination of the award. In addition, under 18 USC Sec. 1001, a false statement may result in a fine of up to \$10,000 or imprisonment for up to 5 years, or both.

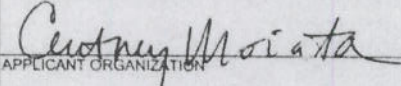
COURTNEY MORIARTY, EXECUTIVE DIRECTOR  
Typed Name & Title of Authorized Representative

Courtney Moriarty 5/21/04  
Signature of Authorized Representative Date

☐ I am unable to certify to the above statements. My explanation is attached.



9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. §§276a to 276a-7), the Copeland Act (40 U.S.C. §276c and 18 U.S.C. §874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. §§327-333), regarding labor standards for federally-assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. §§1451 et seq.); (f) conformity of Federal actions to State (Clean Air) Implementation Plans under Section 176(c) of the Clean Air Act of 1955, as amended (42 U.S.C. §§7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended (P.L. 93-523); and, (h) protection of endangered species under the Endangered Species Act of 1973, as amended (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. §§1271 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.
13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. §470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. §§469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. §52131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. §§4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL		TITLE	
		Executive Director	
APPLICANT ORGANIZATION		DATE SUBMITTED	
Building Performance Institute		May 21, 2004	



RPU

OMB Approval No. 0348-0040

# ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**NOTE:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the sponsoring agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

- Has the legal authority to apply for Federal assistance and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.
- Will give the awarding agency, the Comptroller General of the United States and, if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
- Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
- Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
- Will comply, with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§4728-4767) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
- Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. §794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and, (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
- Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally-assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.
- Will comply, as applicable, with provisions of the Hatch Act (5 U.S.C. §§1501-1508 and 7324-7326) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.



# APPLICATION FOR FEDERAL ASSISTANCE

OMB Approval No. 0348-0043

1. TYPE OF SUBMISSION: <input type="checkbox"/> Application <input type="checkbox"/> Construction <input checked="" type="checkbox"/> Non-Construction		2. DATE SUBMITTED May 21, 2004		Applicant Identifier	
<input type="checkbox"/> Preapplication <input type="checkbox"/> Construction <input checked="" type="checkbox"/> Non-Construction		3. DATE RECEIVED BY STATE		State Application Identifier	
5. APPLICANT INFORMATION Legal Name Building Performance Institute, Inc. Address (give city, county, State, and zip code) 10 Hermes Road, Suite 200 Malta, NY 12020		4. DATE RECEIVED BY FEDERAL AGENCY JUL 14 2004		CR851999010	
6. EMPLOYER IDENTIFICATION NUMBER (EIN) 14-1789014		7. TYPE OF APPLICANT: (enter appropriate letter in box) A. State B. County C. Municipal D. Township E. Interstate F. Intramunicipal G. Special District H. Independent School Dist. I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (Specify) Non-profit		9. NAME OF FEDERAL AGENCY: U.S. Environmental Protection Agency	
8. TYPE OF APPLICATION: <input checked="" type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es): A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration Other (specify):		10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER 66 034		11. DESCRIPTIVE TITLE OF APPLICANT'S PROJECT: Whole House Contractor Certification for the Delivery of Energy Efficiency in Home Improvement	
12. AREAS AFFECTED BY PROJECT (Cities, Counties, States, etc.):		13. PROPOSED PROJECT Start Date: 9/1/04 Ending Date: 8/31/07		14. CONGRESSIONAL DISTRICTS OF: a. Applicant: 21st -- New York b. Project: Nationwide	
15. ESTIMATED FUNDING: a. Federal: \$ 1,000,000 b. Applicant: \$ c. State: \$ d. Local: \$ e. Other: \$ f. Program Income: \$ g. TOTAL: \$ 1,000,000		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS? a. YES: THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON DATE b. No: <input checked="" type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW		17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes If "Yes," attach an explanation. <input checked="" type="checkbox"/> No	
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED.					
a. Type Name of Authorized Representative Courtney Moriarta		b. Title Executive Director		c. Telephone Number (518) 899-2727	
d. Signature of Authorized Representative <i>Courtney Moriarta</i>		e. Date Signed 5/21/04			

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**TOP**

**SECTION 2**

**(WHITE)**



04/05

Routing and Transmittal Slip		GAD Receipt Date <u>7/14/04</u>	
		White House Not. <u>8/30/04</u>	
Date to AAO: <u>8/25/04 9/24/04</u>			
		Initial	Date
<u>RIN 8/12/04</u> FROZEN			
1. AAO		<u>f</u>	<u>9/24/04</u>
2. RETURN: Asher Weinberg		<u>S</u>	<u>9/27/04</u>
3. Mailout		<u>WJ</u>	<u>11-4-04</u>
<b>Award/Amendment for ACTION</b>			
Assistance I.D. Number: <u>XA 83199901-0</u>			
Mail Date <u>10/4/04</u>			
<input checked="" type="checkbox"/>	New Agreement	<input type="checkbox"/>	Partial Funding
<input type="checkbox"/>	Increase Funding	<input type="checkbox"/>	New Fellowship
<input type="checkbox"/>	Decrease Funding	<input type="checkbox"/>	Fellowship Increase
<input type="checkbox"/>	Time Extension w/Money	<input type="checkbox"/>	Other (Administrative)
<input type="checkbox"/>	No-Cost Extension		
From: Asher Weinberg 564-5348			

Ready to Sign  
Contact  
Sign until  
9/28/04



**To:** Courtney Moriarta  
**Subject:** EPA Key Contacts

Asher Weinberg  
Grants Specialist  
EPA Grants Administration Division 3303R  
202-564-5543  
202-565-2470 (fax)  
weinberg.asher@epa.gov



Thanks for your prompt reply. I would like to point something out though- generally the authorized representative and payee are two separate positions. Usually the payee is a director of finance, cfo, coo, comptroller, accountant, etc... Federal regulations require that your organization have a three tier system for receiving federal funds, which should be more or less along these lines:

1. One person to cut checks (example: dir of finance)
2. A different person to sign checks (example: exec dir)
3. And still a different person to oversee the other two (example: president of the board of directors)

I would encourage listing a finance-related staff member as the payee in your case. Thanks again. I'll be in tomorrow to sort it all out. Please feel free to call and/or email if you have any further questions.

Asher

Courtney Moriarta <cmoriarta@bpl.org>

08/12/2004 04:34 PM

To: Asher Weinberg/DC/USEPA/US@EPA

cc:

Subject: RE: EPA Key Contacts

Asher,

Here is our completed form.

-Courtney

-----Original Message-----

**From:** Weinberg, Asher [mailto:Weinberg.Asher@epamail.epa.gov]  
**Sent:** Thursday, August 12, 2004 3:29 PM





Asher  
Weinberg/DC/USEPA/US  
08/12/2004 05:32 PM

To: Lena Nirk/DC/USEPA/US@EPA  
cc  
bcc  
Subject: Fw: EPA Grant XA-83199901-0 BPI, inc

Lena,

✓ You can disregard #1 below. I've already got the email from Susan Donnelly determining the project is energy related. Thanks.

----- Forwarded by Asher Weinberg/DC/USEPA/US on 08/12/2004 05:34 PM -----



Asher  
Weinberg/DC/USEPA/US  
08/12/2004 05:28 PM

To: Lena Nirk/DC/USEPA/US  
cc  
Subject: EPA Grant XA-83199901-0 BPI, inc

*Noted Reflect  
Conversation w/PO  
8/13/04*

Hi Lena,

I'm the grants specialist working on your funding package for EPA Grant XA-83199901-0 (Building Performance Institute, Inc), and I've got a few questions for you. Lets talk about these issues when you get a chance. I'll be in the office Friday 8/13 and next week through 8/19, so hopefully we'll be able to get it sorted out pretty quickly. The issues/questions are as follows:

- ✓ Referring to the note that accompanied your decision memo, has CPPD determined whether or not this agreement is NEP related? *Rec'd letter from Susan Donnelly - NEP yes*
2. Let's talk about the budget. The recipient's application includes a substantial cost share that's not reflected in the AFO or decision memo. *Not cost shared / Can be completed w/ \$1m from EPA*
3. Are you sure that program income is N/A, because it looks like revenue will be collected from the contractors who pay to get certified? Maybe it's N/A because the fees for that will go directly to the affiliate organizations and not to BPI directly? *Use Program TL*
4. Was this an open competition? I'm asking because in the decision memo you say that there were only eight applications. *Planned contest led to N/A's, but still an open competition*
5. You put N/A on the decision memo for mixed appropriations, but there are mixed appropriations and did include the justification and allocation methodology, so that just must've been an oversight, right? *OK, not*
6. Could you please email me the programmatic terms and conditions (item X in the decision memo), so that I can easily paste them into IGMS. *By Donnelly, attached file*
7. The application was missing a key contacts form, but I've already contacted the recipient and instructed Courtney how to fill it out.

Thank you and I look forward to speaking with you soon.





Susan  
Donnelly/DC/USEPA/US  
08/11/2004 10:12 AM

To: Asher Weinberg/DC/USEPA/US@EPA  
cc  
bcc  
Subject: Building Performance Institute Agreement 23199010

Asher,

OAR has determined that BPI is a National Energy Policy related agreement.



5. ADDITIONAL REFERENCES.

- a. 40 CFR Parts 30 and 31.
- b. EPA Assistance Administration Manual.
- c. Delegation 1-14, "Assistance Agreements" which delegates the authority to award (sign/execute) grants and cooperative agreements.
- d. Delegation 7-13B, "Grants and Cooperative Agreements Under Section 112 (l)(4) of the Clean Air Act for Development and Implementation of Programs".
- e. EPA Order 5700.1, "Policy for Distinguishing Between Assistance and Acquisition", March 22, 1994.
- f. EPA Order 1130.2A, "Senior Resource Officials and Resource Management Committee", November 6, 1995.
- g. Federal Grant and Cooperative Agreement Act, as amended, 31 U.S.C. Section 6301.

OHR Web Manager Doris Rosario

---

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Last updated on Wednesday, August 11th, 2004  
URL: <http://epawww.epa.gov/rmpolicy/ads/dm/7-11.htm>





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## CLEAN AIR ACT

### 7-11.Grants and Cooperative Agreements for Investigations, Demonstrations, Surveys and Studies

1206 TN 4  
3/3/99

1. **AUTHORITY.** To approve grants and cooperative agreements with air pollution control agencies; other public or nonprofit private agencies and organizations; and individuals for investigations, demonstrations, surveys, and studies relating to the causes, effects, extent, prevention, and control of air pollution as authorized by subsection 103(b)(3) of the Clean Air Act.
2. **TO WHOM DELEGATED.** The Assistant Administrator for Air and Radiation, the Assistant Administrator for Solid Waste and Emergency Response, and Regional Administrators.
3. **LIMITATIONS.** Agency Senior Resource Officials must review and approve grants and cooperative agreements when total project costs are over \$1 million.
4. **REDELEGATION AUTHORITY.**
  - a. The authority delegated to Regional Administrators may be redelegated to the Division Director level or equivalent and may not be redelegated further.
  - b. The authority delegated to the Assistant Administrator for Solid Waste and Emergency Response may be redelegated to the Office Director level or equivalent and may not be redelegated further.
  - c. The authority delegated to the Assistant Administrator for Air and Radiation may be redelegated to the Office Director level, or equivalent. For the Office of Mobile Sources residing in Ann Arbor, this authority may be further redelegated through the Director to the Deputy Director level, or equivalent. This authority may not be redelegated further than is specified here.



## Certified Project Officers Database

EPA Domino Directory ==> ☐

### Project Officer Information

Project Officer:	Lena Nirk		
Office:	OAR,OAP,CPD	E-Mail:	Nirk.Lena@epamail.epa.gov
AAShip:	OAR	Phone:	202-343-9841
Org Code:	6202	Mail Code:	6202

### Training Information

Basic Training Date	Basic Training Type		
01/21/97	Full Course	Grants Only	
	IAG Only		
Refresher Training Date	Refresher Training Type		
05/21/2002	Refresher/Class	IAG Only Refresher	
	Refresher/OnLine	Grants Only Refresher	

Last Training Date	05/21/2002
Certification Expiration Date	05/21/2005

Comments

### Created By:

Donald Garner/DC/USEPA/US on 08/21/2002

### Last Modified By:

Donald Garner/DC/USEPA/US on 04/11/2004



State	Name	Rate Type	Rate	Rate Date	Basis of Rate
NEW YORK STATE DEPARTMENT OF ENVIRONMENTAL CONSERVATION - UPSTATE					
	MBE		FY99 Categorical Rates - Services: 8.8% Supplies: 8.8% Equipment: 8.8% Construction: 6%	01/01/1999	Disparity Study
	WBE		FY99 Categorical Rates - Services: 8.8% Supplies: 8.8% Equipment: 8.8% Construction: 6%	01/01/1999	Disparity Study



**Project Officer Monitoring Strategy** (PO monitoring activities such as site visits, review of recipient draft documents, etc.)

Document those monitoring activities, such as site visits, review of recipient draft documents, etc. which the project officer will take to effectively manage this project.

The Project Officer will review quarterly reports and meet in person, or via conference call to review accomplishments.

#### 11. APPROVALS:

Name	Signature	Date
Project Officer: Lena Nick	<i>Lena Nick</i>	7/7/04
Recommending Official: Brian J. McLean, Acting Director, OAP	<i>Brian J. McLean</i>	7/13/04
Approval Official: Elizabeth Craig, Deputy Assistant Administrator, OAR	<i>Elizabeth Craig</i>	7/13/04
Other (DIA, GGC, if appropriate):		

#### ACQUISITION POLICY TEAM COMMENTS:

Please return to Val Sney-Tomczak and  
signed for hand delivery to OAR by  
July 15<sup>th</sup> deadline.

SRO Comments: (if any):



SRO ASSISTANCE CLEARANCE  
ROUTING AND TRANSMITTAL  
CHECKLIST (June 1999)

HW (LMD)

1. DATE: June 17, 2004	2. OFFICE: OAR-OAP	3. DIVISION: CPPD
------------------------	--------------------	-------------------

4. ROUTING CONTROL NUMBERS (enter as needed)

ORIGINATING AGENCY CONTROL	OAR CONTROL
----------------------------	-------------

5. PACKAGE TYPE (check all that apply)

Cooperative Agreement	<input checked="" type="checkbox"/> New <input type="checkbox"/> Incrementally new	IAG Funds-out IAG Funds-in
-----------------------	---	-------------------------------

6. Recipient Organization:

7. Project Period/Budget Period:

8. Project Financial Information:

a. Total Project Cost: \$1,000,000 over 3 years  
(Federal Dollars only)

b. Funds Obligated to date: \_\_\_\_\_

c. Amt. of this Commitment: \$296,000

9. ENCLOSURES / ATTACHMENTS: (Check all that apply)

Item		Item	
Decision Memo	X	In-house/Peer Review	
Funding/Budgetary/Commitment Notice, etc.	X	Special justifications: Specify:	
QA/QC Narrative		Gov't Furnished Property	
Application Narrative	X	Equipment Purchase for Recipient	
Conflict-of-Interest Statement		Other	
International Clearances			

Packages requiring SRO/AA concurrence, your initials certifies the following: (a) package has been personally reviewed for compliance with Federal, EPA, and OAR compliance, (b) proper extramural instrument has been selected to perform work, (c) does not involve personal services, (d) does not create any conflict of interest, (e) management and other controls are in place and (f) adequate and properly trained staff exist to manage the instrument

0405

Funding was entered  
into FIMS on 7/18/04  
VAPN L.H.  
7/22  
GAD 7/1



**TELEFAX**

US Environmental Protection Agency (USEPA)  
Office of Atmospheric Programs (OAP)  
Climate Protection Partnerships Division (CPPD)  
Management Operations Staff (MOS)

Telefax# (202) 343-2235

Telephone (202) 343-9735

Date: Aug 19, 2004

To: Asher Weinburg

Office: G08

Telefax#: (202) 565-2470 (Phone# (202) 564-5348)

From: Susan Donnelly

Number of Pages Including Cover Sheet: 2

Comments: Addendum to BPI Grant  
XA83199901





UNITED STATES ENVIRONMENTAL PROTECTION AGENCY  
WASHINGTON, D.C. 20460

OFFICE OF AIR AND RADIATION

Office of Atmospheric Programs  
U.S. EPA 6202J  
Washington, DC 20460

SUBJECT: Addendum to EPA Grant: Building Performance Institute  
XAB3199901

TO: Asher Weinberg, Grants Specialist, GOB

FROM: Kathleen Hogan *Kathleen Hogan* *h/k.h*  
Division Director  
Climate Protection Partnership Division

Date: August 19, 2004

The purpose of this memo is to clarify that the proposed project outlined in the pending grant application from the Building Performance Institute can be completed without a cost share. Funds received by the grantee from other organizations are not necessary to complete the goals and objectives of the project outlined in the grant application. EPA and BPI have agreed that the \$1 million funded by this Agency is sufficient to complete all aspects of the agreement.





to building science to associated societal benefits. VEIC will assist BPI in other technical analysis of the project's results as well.

### 7. TOTAL PROJECT COST

The budget for this project has been developed based on a 3-year project period. The total projected budget is: \$1,173,132. With \$1,000,000 provided by EPA through this grant, the balance of the project budget will be covered with co-funding from the New York State Energy Research and Development Authority (NYSERDA), and in kind contributions from BPI. A copy of the commitment letter for contingent funding from NYSERDA is included in the attachments to this document.

### 8. ITEMIZED BUDGET

The total project budget by task and expense category is shown below:

	Outreach & Stakeholder Support	Affiliate Network Business Development	Technical Development	Quality Assurance	Project Management/ Reporting
	Task 1	Task 2	Task 3	Task 4	Project Mgmt.
Personnel	\$ 100,000.00	\$ 83,000.00	\$ 83,000.00	\$ 80,000.00	\$ 38,000.00
Fringe	\$ 28,000.00	\$ 28,000.00	\$ 28,000.00	\$ 27,000.00	\$ 19,000.00
Travel	\$ 46,000.00	\$ 16,000.00	\$ 12,000.00	\$ 8,000.00	\$ -
Equipment	\$ -	\$ -	\$ -	\$ -	\$ -
Supplies	\$ 5,000.00	\$ 1,000.00	\$ 1,000.00	\$ -	\$ -
Contractual	\$ 50,000.00	\$ 39,000.00	\$ 43,000.00	\$ 40,000.00	\$ 8,000.00
Construction	\$ -	\$ -	\$ -	\$ -	\$ -
Other	\$ -	\$ -	\$ 5,000.00	\$ -	\$ -
Total Direct Charges	\$ 229,000.00	\$ 167,000.00	\$ 172,000.00	\$ 155,000.00	\$ 65,000.00
Indirect Charges	\$ 62,000.00	\$ 45,000.00	\$ 45,000.00	\$ 40,000.00	\$ 20,000.00
Totals	\$ 291,000.00	\$ 212,000.00	\$ 217,000.00	\$ 195,000.00	\$ 85,000.00

To carry-out the work included in this project, a variety of sub-contractors and non-profit partners will be used. The estimated costs for these services are included in the above budget under the "Contractual" category. The actual sub-contract terms and final scope of work will be negotiated in compliance with all federal procurement requirements once the primary contract has been awarded.

The line item for "Other" costs in the Technical Development task is allocated to allow for BPI to maintain membership in a variety of technical and standard setting organizations and to cover registration fees for national meetings of these organizations to ensure BPI remains actively engaged in other national standard-setting activities.

It is estimated that project management costs will be approximately \$33,000 annually over the 3-year term of the project. To simplify the presentation, these costs have been merged into Task 1 on Federal Standard Form 424A, provided as an attachment to this document.



07/07/2004 WED 10:20 FAX

SECTION C - NON-FEDERAL RESOURCES				
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS
8. Outreach & Project Management	\$	\$	\$	\$ 0.00
9. Affiliate				0.00
10. Technical Development				0.00
11. QA & Accreditation				0.00
12. TOTAL (sum of lines 8-11)	\$ 0.00	\$ 0.00	\$ 0.00	\$ 0.00

SECTION D - FORECASTED CASH NEEDS					
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$ 296,000.00	\$ 74,000.00	\$ 74,000.00	\$ 74,000.00	\$ 74,000.00
14. Non-Federal	0.00				
15. TOTAL (sum of lines 13 and 14)	\$ 296,000.00	\$ 74,000.00	\$ 74,000.00	\$ 74,000.00	\$ 74,000.00

SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT				
(a) Grant Program	FUTURE FUNDING PERIODS (Years)			
	(b) First	(c) Second	(d) Third	(e) Fourth
16. Outreach & Project Management	\$ 130,000.00	\$ 124,000.00	\$	\$
17. Affiliate	122,000.00	44,000.00		
18. Technical Development	120,000.00	11,000.00		
19. QA & Accreditation	120,000.00	33,000.00		
20. TOTAL (sum of lines 16-19)	\$ 492,000.00	\$ 212,000.00	\$ 0.00	\$ 0.00

SECTION F - OTHER BUDGET INFORMATION	
21. Direct Charges: Task 3, "Other" charges are for membership and registration fees	22. Indirect Charges: Provisional rate used, total indirect charges = \$212,500
23. Remarks: Project totals are based on a projected 36 month grant period	

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Standard Form 424A (Rev. 7-97) Page 2

003/003



## BUDGET INFORMATION - Non-Construction Programs

DMR Approval No. 0348-0044

07/07/2004 WED 10:19 FAX

SECTION A - BUDGET SUMMARY						
Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. Outreach & PM	66.034	\$ 376,000.00	\$	\$	\$	\$ 376,000.00
2. Affiliate	66.034	211,000.00				211,000.00
3. Technical	66.034	217,000.00				217,000.00
4. QA & Accreditation	66.034	196,000.00				196,000.00
5. Totals		\$ 1,000,000.00	\$ 0.00	\$ 0.00	\$ 0.00	\$ 1,000,000.00
SECTION B - BUDGET CATEGORIES						
6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (h)	
	(1)	(2)	(3)	(4)		
a. Personnel	\$ 114,000.00	\$ 169,000.00	\$ 82,000.00	\$ 0.00	\$ 365,000.00	
b. Fringe Benefits	39,000.00	64,000.00	27,000.00	0.00	130,000.00	
c. Travel	24,000.00	40,000.00	17,000.00	0.00	81,000.00	
d. Equipment	0.00	0.00	0.00	0.00	0.00	
e. Supplies	2,000.00	4,000.00	2,000.00	0.00	8,000.00	
f. Contractual	53,000.00	88,000.00	38,000.00	0.00	179,000.00	
g. Construction	0.00	0.00	0.00	0.00	0.00	
h. Other	1,000.00	2,500.00	1,000.00	0.00	4,500.00	
i. Total Direct Charges (sum of 6a-6h)	233,000.00	387,500.00	167,000.00	0.00	787,500.00	
j. Indirect Charges	63,000.00	104,500.00	45,000.00	0.00	212,500.00	
k. TOTALS (sum of 6i and 6j)	\$ 296,000.00	\$ 492,000.00	\$ 212,000.00	\$ 0.00	\$ 1,000,000.00	
7. Program Income	\$	\$	\$	\$	\$ 0.00	

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Standard Form 424A (Rev. 7-97)  
Prescribed by DMR Circular A-162

Previous Edition Obsolete

002-113



APPLICATION REVIEW SHEET - I.D. NUMBER:

XA-83199401-0

Forms/Certification Review:

	Yes	No	N/A
Signature: <u>(AP 103)</u>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
501(c)(3) Organization That Lobbies	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
SP 424 With Original Signature	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
SP 424B Assurances With Signature	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
*Suspension/Debarment EPIS Seal: <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Lobbying Certification (L over 100K)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
E.O. 12372 Intersect, Review Required	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Civil Rights Form (EPA Form 4700-4)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Application Solicited	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
DDMM Number: <u>94-9281271</u>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Qualitative Review

	Yes	No	N/A
Statement of Work Included	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Meets Requirements of Fed. Grant & Coop. Agreement Act and EPA Order 5700.1	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Biographical Sketch Included	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Human Subjects Indicated	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Animal Subjects Indicated	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Plant Subjects Indicated	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Deviation Requested	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Foreign Award/Activity Indicated	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Survey or PRA Review Necessary	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Budget Review

	Yes	No	N/A
Budget Period/Project Period Allowable	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Itemized Budget Provided	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Unallowable Costs Indicated (see notes)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
IDC Rate Established (Rate <u>Base</u> <u>7C</u> )	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Contractual or Consultant Costs Indicated <u>7C</u>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Meets Cost Share Req. (Recip. <u>1</u> Fed. <u>5</u> )	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>
Conference/Workshop Indicated	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>
Pieces of Equipment/Supplies Over \$5000	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>

Notes/T&Cs/Items Needed: IDC 7C 76, Cont. 12 7C 5

Reviewed By:

Arthur Winkley

Date:

8/12/04

Sent To:

John Jones

\*May be satisfied by annual certifications.

Application Review Sheet Date: Revised Feb 2004



If you would like acknowledgment of GAD/GOB's receipt of your funding package, please:

1. Complete the information below and the return address information on the back.
2. Place this acknowledgment sheet as the first page of your funding package.

Upon receipt, GAD/GOB will date stamp the date received and return this sheet to you.

---

**Grants Administration Division  
Grants Operations Branch**

Acknowledgment of Receipt of Funding Package

Recipients Name: Building Performance Institute, Inc.

Recipient Organization's State: New York

Grant Number (if known): \_\_\_\_\_

Total EPA Funds: \$ 296,000

Project Title: Whole House Contractor Certification  
for Delivery of Energy Efficiency in Home  
Improvement

Date Received:

PD - Lena Nirk

Note: This is  
a (NEW) Completed  
Cooperative Agreement

Please Assign #,  
Date Stamp Top Form  
and return to:  
Susan Donnelly  
6202J



July 12, 2004

NOTE: TO REVIEWER

The attached Cooperative Agreement with Building Performance Institute, Inc. does not require a Software/Website/Model Questionnaire since they are using their existing website and will not be developing a website using EPA grant funds.

CPPD is still determining whether or not this agreement is NEP related. You will be notified shortly regarding our decision.



Attachment 1

Location of Files for Competition CPPD-04-02

Solicitation Posted: January 26, 2004

Subject: Whole House Contractor Certification for the Delivery of Energy  
Efficiency in Home Improvement

Applications: 8 applications were received

Selection: 1 application was selected for funding and award

The records regarding the review and selection process are located at: 1310 L Street,  
Washington, DC. In Lena Nirk's office (room 942). Lena Nirk was the Review Team Leader  
regarding this competition. Phone number 202.343.9841.



**XII. Quality Assurance:**

Not applicable. This cooperative agreement does not involve direct environmental measurement or data generation.

**XIII. Pre-award Costs Approved:**

Not applicable.

**XIV. Foreign Activities Approval:**

Not applicable.

**XV. Human Subjects:**

Not applicable.

**XVI. Workshops and Conferences:**

Not applicable.

**XVII. Program Income:**

Not applicable.

**XVIII. Program Results Code:**

Not applicable.

**XIX. Catalog of Federal Domestic Assistance Number:**

Office of Air and Radiation, Clean Air Act, Section 103, CFDA number:66.034.

**XX. Paperwork Reduction Act - Information Collection Requirements:**

Not applicable. No surveys or data collections are anticipated under this agreement.

**XXI. Dun and Bradstreet Number:**

94-928-1273



that consumers, businesses and organizations have for making sound investments in efficient equipment, policies and practices, and transportation choices.

**VI. Explanation of any Apparent Duplicative or Excessive Work:**

This work does not duplicate any prior or concurrent work.

**VII. Reviews**

This cooperative agreement was selected through a competitive solicitation and received multiple reviews during that process. In addition, a peer review of the full grant is attached.

**VIII. Reconciliation of any Contrary Reviews (if applicable):**

Not applicable.

**IX. Competition:**

OAR, OAP, CPPD received 8 applications from the competition CPPD-04-02 "Whole House Contractor Certification for the Delivery of Energy Efficiency in Home Improvement" solicited on January 26, 2004. One proposal was selected for funding for \$1,000,000 from the competition. Location of competition files is attached (see attachment 1).

**X. Program Terms and Conditions:**

The following terms and conditions apply to this Cooperative Agreement:

1. Recipient will submit quarterly reports to the Project Officer documenting all progress including materials prepared, presented or distributed under this assistance agreement.
2. The recipient will submit copies of all articles, reports, newsletters, initiative summaries, studies, evaluations and other outputs developed under this agreement to the Project Officer for review prior to release to the general public. However, final decisions on the content of the materials will be made by the grantee.
3. The recipient and the Project Officer will meet quarterly, in person or via conference call, to review key accomplishments.
4. The recipient will submit trip reports as part of quarterly reports indicating progress made towards project goals.

**X. Solicited/Unsolicited Research:**

Not applicable.

**XI. Justification of Mixing Appropriations:**

Not applicable.

See Attached Allow Methodology.



✓ **II. Statutory Authority:**

The Clean Air Act, Section 103 provides for studies relating to the causes, effects, extent, prevention and control of air pollution. Investigation, training, and coordination of such activities are permitted. In addition, section 103(g) directs the Administrator to institute a "technology program to develop, evaluate, and demonstrate nonregulatory strategies and technologies for air pollution prevention." The section calls on the Administrator to provide opportunities for industry, public interest groups, scientists and other interested persons to participate in strategy development. Section 103(g) further directs EPA to include as elements in the program "improvements in nonregulatory strategies and technologies for preventing or reducing multiple air pollutants including sulfur oxides, nitrogen oxides, heavy metals, PM-10 (particulate matter), carbon monoxide and carbon dioxide..." The strategies and technologies are to improve various pollutant reduction and nonregulatory control strategies including energy efficiency.

✓ **III. Delegation of Authority Number:**

Delegation of Authority # 7-11.

**IV. Justification of Award of Assistance:**

✓ The purpose of this project is to support the accomplishment of a public purpose rather than to acquire property or services for EPA. This assistance agreement has been reviewed for appropriateness relative to the criteria and examples provided in the "Policy for Distinguishing Between Assistance and Acquisition." I certify that this assistance agreement appropriately meets the criteria.

The general public benefits through decreased greenhouse gas emissions. In addition, certification allows building professionals to benefit because homeowners can recognize them as professionals with a demonstrated ability to perform high-quality energy efficiency improvements. Home owners benefit through a mechanism to recognize skilled building performance contractors and through decreased utility bills once work is performed.

✓ **V. Environmental Results**

In accordance with GPI 04-02, the project work plan supports the Agency's strategic plan goals. Specifically, the work plan is consistent with:

Goal 1: Clean Air and Global Climate Change  
Objective 1.5: Reduce Greenhouse Gas Intensity

EPA's strategy for helping to reduce GHG intensity is to enhance its partnerships with businesses and other sectors through programs that deliver multiple benefits in addition to reducing GHG intensity - from cleaner air to lower energy bills. At the core of these efforts are voluntary government-industry partnership programs designed to capitalize on the opportunities





UNITED STATES ENVIRONMENTAL PROTECTION AGENCY  
WASHINGTON, D.C. 20460

OFFICE OF AIR AND RADIATION

Climate Protection Partnerships Division  
U.S. EPA 6202J  
Washington, DC 20460

1111 0 2004

**MEMORANDUM**

**SUBJECT:** Decision Memorandum: Cooperative Agreement with Building Performance Institute, Inc. on Proposal submitted under EPA's Solicitation CPPD-04-02

**FROM:** Kathleen Hogan, Director, Climate Protection Partnerships Division

**THROUGH:** Brian J. McLean, Director, Office of Atmospheric Programs

**TO:** Elizabeth Craig, Deputy Assistant Administrator for Air and Radiation

The purpose of this memorandum is to request approval of a cooperative agreement with Building Performance Institute, Inc. to advance the development of national certification of contractors to deliver whole house energy efficiency improvements in existing homes. The proposal was submitted under EPA's solicitation CPPD-04-02. Successful implementation of this proposal would allow consumers greater access to professionals that can deliver improvements to all major energy related systems in homes and can lead to reduced air pollution and energy savings in the residential sector.

**I. Objective of Project:**

The objective of this proposal is to fund the continued efforts of BPI, Inc. to advance the development of national certification of contractors to deliver whole house energy efficiency improvements in existing homes. This certification addresses advanced diagnostics for homes and multiple systems within the home including heating, cooling, the building envelope and electric baseload. BPI, Inc. would be building off the foundation of their previous work establishing technician testing, development and deployment of standards and quality assurance of services delivered by contractors in New York, Kansas City and a few other markets.

BPI, Inc. is requesting funds to develop the process for reviewing, revising and validating their current standards and for developing their affiliate network which is essential to delivering certification nationwide. They are also requesting funding to develop their strategic partnerships across the building industry trades and to develop enhanced quality assurance and accreditation procedures.



Allocation Methodology for Building Performance Institute

DCN	PRC	FY	Appr	Title	Budget Org/Code	Dollars	%
EC4564	105A46D	04/05	B	Climate Change Technology Initiative	58E2	166,000	56%
EC4565	105A46D	04/05	BR	Climate Change Technology Initiative	58E0X18	130,000	44%
TOTAL						296,000	100%



#### **Allocation Methodology for Building Performance Institute, Inc.**

1. The funding for the grant to the Building Performance Institute will be allocated between two funding sources. The objective of the grant is to fund the continued efforts of BPI, Inc. to advance the development of national certification of contractors to deliver whole house energy efficiency improvements in existing homes. This certification addresses advanced diagnostics for homes and multiple systems within the home including heating, cooling, the building envelope and electric baseload. BPI, Inc. would be building off the foundation of their previous work establishing technician testing, development and deployment of standards and quality assurance of services delivered by contractors in New York, Kansas City and a few other markets.
2. The time period for the methodology is fiscal years 04-05.
3. The allocation methodology is described in the attached chart.



CONNECT.SES

ACTION: R SCREEN: REQL USERID: EBF1 07/12/04 09:12:34 AM  
\*\*\* REQUISITION ACCOUNTING LINE INQUIRY TABLE \*\*\*  
KEY IS TRANS CODE, REQ NO, LINE NO

TRANS CODE: RQ REQ NO: 0458EC4565

01- LINE NO: 001	BFY: 2004 2005	APPR: BR	RPIO: 27	
	BUDGET ORG: 58E0X18	PE: 105A46D	LINE AMT:	130,000
	COST ORG:	SITE/PROJ:	CLOSED AMT:	
	BOC: 4183	RPTG CATG:	OBLG AMT:	
	LAST CHG STATUS:	DESCRIPTION:		
02- LINE NO:	BFY:	APPR:	RPIO:	
	BUDGET ORG:	PE:	LINE AMT:	
	COST ORG:	SITE/PROJ:	CLOSED AMT:	
	BOC:	RPTG CATG:	OBLG AMT:	
	LAST CHG STATUS:	DESCRIPTION:		
03- LINE NO:	BFY:	APPR:	RPIO:	
	BUDGET ORG:	PE:	LINE AMT:	
	COST ORG:	SITE/PROJ:	CLOSED AMT:	
	BOC:	RPTG CATG:	OBLG AMT:	
	LAST CHG STATUS:	DESCRIPTION:		

02-\*L009 HEADER CHANGE

I certify that the commitment on  
this PR has been accepted by  
WAS as shown on the REEL  
number.  
2B  
[To Review 200 240-2072  
-2011]



ACTION: R SCREEN: REQL USERID: EBF1 07/12/04 09:12:25 AM  
 \*\*\* REQUISITION ACCOUNTING LINE INQUIRY TABLE \*\*\*  
 KEY IS TRANS CODE, REQ NO, LINE NO

01- LINE NO:	001	BFY:	2004	2005	APPR:	B	RPIO:	27	
		BUDGET ORG:	58E2		PE:	105A46D	LINE AMT:		166,000.00
		COST ORG:			SITE/PROJ:		CLOSED AMT:		0.00
		BOC:	4183		RPTG CATG:		OBLG AMT:		0.00
		LAST CHG STATUS:			DESCRIPTION:				
02- LINE NO:		BFY:			APPR:		RPIO:		
		BUDGET ORG:			PE:		LINE AMT:		
		COST ORG:			SITE/PROJ:		CLOSED AMT:		
		BOC:			RPTG CATG:		OBLG AMT:		
		LAST CHG STATUS:			DESCRIPTION:				
03- LINE NO:		BFY:			APPR:		RPIO:		
		BUDGET ORG:			PE:		LINE AMT:		
		COST ORG:			SITE/PROJ:		CLOSED AMT:		
		BOC:			RPTG CATG:		OBLG AMT:		
		LAST CHG STATUS:			DESCRIPTION:				

I certify that the applicant on this PE has been accepted by IFAD as shown on this PE.



Session1

ACTION: A SCREEN: CFRA USERID: RPNI

08/12/04 05:14:10 PM

CONTRACT REQUISITION FREEZE ACTION SCREEN

KEY IS CONTRACT REQUISITION DOCUMENT ID

	DOCUMENT ID	FREEZE AMOUNT	CONTRACT OFFICER
01-	RQ 0458EC4565	130,000.00	XA-83199901-0, RPN 564-5348
02-	RQ 0458EC4564	166,000.00	XA-83199901-0, RPN 564-5348
03-			
04-			
05-			
06-			
07-			
08-			
09-			
10-			
11-			
12-			
02-*	L030 ALL LINES ADDED		

*Fund Freeze*  
*RPN 8/12/04*



United States  
Environmental Protection Agency

COMMITMENT NOTICE

NOTE: Preparation and approval of this form does not constitute any obligation of money. The use of this form is intended to guarantee availability of money by reserving it for certain types of specified transactions.

THIS COMMITMENT TRANSACTION IN THE AMOUNT OF \$ 296,000 IS FOR NEW **X831999010**

☐ GRANT ☐ INTERAGENCY AGREEMENT ☐ OTHER  
☒ COOPERATIVE AGREEMENT ☐ CONTRACT ☐ PURCHASE ORDER (Please provide project number)

DESCRIPTION OF PROJECT, GOODS, OR SERVICES: Whole House Contractor Certification for the Delivery of Energy Efficiency in Home Improvement

NAME OF GRANTEE/CONTRACTOR/VENDOR: Building Performance Institute, Inc. EMPLOYER IDENT. NO. (EIN)

TASK, ROAD, OR OTHER LOCAL IDENTIFIER

SPECIAL COMMENTS OR INSTRUCTIONS

ALLOWANCE HOLDER APPROVALS (Optional, at discretion of Allowance Holder)

ALLOWANCE HOLDER TYPE RESPONSIBILITY CENTER TITLE

STAFF APPROVALS

SIGNATURE	DATE	PHONE
Kathleen Hogan, Director, CPEP	7/2/04	
Brian J. McLean, Director, CEA	7/2/04	

FUNDS CERTIFICATION

PREPARED BY	APPROVED BY
SIGNATURE: Susan Donnelly	SIGNATURE: Liz Bailey
DATE: 7/12/04	DATE: 7/12/04
PHONE: 564-9772	PHONE: 564-9072

For Responsibility Center Use Only

Contract negotiator ☐ is ☐ is not authorized to exceed amount shown above by up to 10% without securing further approval for funds

THE AMOUNT OF MONEY IS

☒ AN ORIGINAL COMMITMENT ☐ AN INCREASE TO A PREVIOUS COMMITMENT ☐ A DECREASE TO A PREVIOUS COMMITMENT

FINANCIAL AND ACCOUNTING DATA

Ln	DCN (Max 6)	Budget/E Y (Max 4)	Appropriation Code (Max 6)	Budget Org Code (Max 7)	Program Element (Max 9)	Object Class (Max 4)	SFO (Max 7)
1	EC 4564	0405	B	5942	125A401	4183	43
2	EC 4565	0405	200	594215	125A401	4183	
3							
Amount (Dollar) (Max 20)							
1	596,000						
2	510,000						
3							
Sub Total (Max 20)							
1							
2							
3							
Total Org Code (Max 7)							
1							
2							
3							



# ASSISTANCE FUNDING ORDER

APPLICANT: Building Performance Institute, Inc.		PROJECT ID NUMBER: <b>X831999010</b>	APPROVED DURATION PERIOD DATES PROJECT PERIOD: 9/1/04 - 8/31/07 BUDGET PERIOD: 9/1/04 - 8/31/07	
PROJECT TITLE AND DESCRIPTION: Whole House Contractor Certification for the Delivery of Energy Efficiency in Home Improvement				
PROGRAMMATIC TERMS AND CONDITIONS: (Use separate sheet for listing Terms and Conditions)		PROJECT OFFICER TRAINING RECEIVED? YES X DATE: May 2/02 (MONTH/YEAR) NO O		
Initial Funding? YES X NO O Project budget cost shared? YES O NO X Does this project involve Human Subjects? YES O NO X Animal Subjects? YES O NO X	Incremental Funding: (For projects previously funded and are ongoing, please answer the following questions.) 1. Is this project progressing satisfactorily? If no, explain the circumstances and the action taken to remedy the situation. 2. Have you received the progress reports required by this Assistance Agreement? If no, explain the action you have taken to obtain these reports. 3. Have you checked the terms and conditions noted in this Assistance Agreement and ensured that the recipient is in compliance? (e.g. QA plan) If the recipient is not in compliance, explain the action taken to remedy the situation.		YES O NO O YES O NO O NOT DUE O NA O YES O NO O	
APPROVED BUDGET				
COST CATEGORY CLASSIFICATION (NON-CONSTRUCTION)		ALLOWABLE BUDGET PERIOD COST:		
		TABLE A	TABLE B	
1	PERSONNEL:	\$ 114,000		
2	FRINGE BENEFITS:	39,000		
3	TRAVEL:	24,000		
4	EQUIPMENT:			
5	SUPPLIES:	2,000		
6	CONTRACTUAL SERVICES:	53,000		
7	CONSTRUCTION:			
8	OTHER:	1,000		
9	TOTAL DIRECT COSTS:	\$233,000		
10	INDIRECT COSTS: RATE: % BASE:	63,000		
11	TOTAL APPROVED PROJECT PERIOD COSTS:	\$296,000		
12	TOTAL APPROVED EPA AMOUNT:	\$296,000		
EPA PROJECT OFFICER				
NAME AND TITLE Lena Nirk		ADDRESS (Include ZIP code) OAR OAP/CPD Mail Stop 6202J 1200 Pennsylvania Ave., NW Washington, DC 20460		TELEPHONE NO. (202) 343-9841 FAX NO.
RECOMMENDING OFFICIAL				
SIGNATURE <i>Brian McLean</i>		TYPED NAME AND TITLE Brian McLean, Director Office of Atmospheric Programs		DATE 7/9/04
DECISION OFFICIAL APPROVAL				
SIGNATURE <i>Elizabeth Craig</i>		TYPED NAME AND TITLE Elizabeth Craig, Deputy Assistant Administrator for Air and Radiation		DATE 7/13/04



Revised June 30, 2004

GRANTS SPECIALIST REVIEW SHEET

GRANT NO.

XA 83199901-0

☒ ENERGY Related or OVER \$1M/Copy to Betty M.

☒ SMALL GRANT/add to description

☒ Correct Decision Official's signature

☒ Commitment Notice signature

☒ REQL Printout/Freez Sheet

☒ Delegation of Authority Number 7-11

☒ PO Training verified

1/21/97 Date of Basic 3 day course

5/1/01 Date of Refresher 1 day course

☒ Monitoring Questions answered

☒ Cost Sharing Ratio

☒ Non-profit Status B.B. note p 392

☒ IDC negotiated/verified

☒ Multiple PRC Codes/Allocation Meth.

☒ Justification for Statutory Authority (A110)

☒ Regulatory Authority part 3

☒ CFDA/Program Code 66.034

☒ Correct Object Class 11083

☒ Justification for Mixed Appropriation/Alloc Meth

☒ SRU Approval over \$1M (with last signature)

☒ Dec Memo. Justification for Assistance

☒ Dec Memo: Justification for Non-Competition 3402

☒ Dec Memo: Environmental Results 11/26/04

☒ Unsolicited Research - Cost Share required

☒ Acceptable Quality Assurance Plan

☒ Required In-House Review

☒ Required (2) External Reviews (research only)

☒ Negative Review Comments Addressed

☒ Foreign - OIA Approval

☒ FDP/Deviation (add to Title)

☒ Conference Questionnaire

☒ EPA In-Kind in Budget

☒ Human Subjects ORD Approval

☒ Deviation for Extension (Res & Tng)

☒ Minority Issue - Wendy L. Adams (OGC)

☒ Software/Website Models Questionnaire

☒ PRA/ICR Issue - Barbara Pace (OGC)

☒ EPLS and SND Lists Checked

Donor # 94-9281273

Grants Specialist Signature: [Signature]

TERMS AND CONDITIONS NEEDED

☒ Prompt Payment TC 1

☒ No Feds TC 12

☒ Foreign Travel TC 13

☒ ACH TC 2

☒ FSR TC 3

☒ Partial Funding TC 4

☒ Consultants TC 5

☒ Human Subjects TC 6

☒ Animal Subjects TC 7

☒ Paperwork Reduction Act TC 9

☒ Fly America TC 13

☒ DBE/MBE TC 15 w/Attachment/Indian MBE TC 67

☒ IDC - accepting lower rate TC 16

☒ Quality Assurance TC 24

☒ Non-profit Organization TCs 54 & 55

☒ Educational Institution TC 54

☒ State Recipient TCs 11.51, 52, 53, 73

☒ Program Income (TC 63)

☒ FDP Deviation TC 38

☒ Copyright TC 65

☒ Research Misconduct TC 60

☒ Progress Report TC

☒ Quarterly TC 19

☒ Semi-Annual TC 21

☒ Annual TC 25

☒ Final Report TC for NCER TC 22

☒ Final Report for other ORD offices TC 27

☒ Final Report for Part 30 & 31 TC 32

☒ TC re EPA In-kind

☒ TC re Deviation for Extension

☒ Civil Rights Form (TC 61)

☒ Lobbying/Litigation TC 64

☒ Presaward Costs over 90 Days TC 59

☒ Debarment TC 75

☒ Indirect Cost for Non-Profits TC 76

☒ Indirect Cost for State Agencies TC 77

☒ Indirect Cost for Local/Interstate Agencies TC 78

☒ IDC for Indian Tribal Governments TC 79

Date: 8/1/04





★ Search Menu -  
Current Exclusions

- ▶ Name
- ▶ Multiple Names
- ▶ DUNS
- ▶ Agency
- ▶ State/Country
- ▶ Action Dates
- ▶ Termination Dates
- ▶ Exact Name and SSN/TIN

★ Archive Menu -  
Past Exclusions

- ▶ Name
- ▶ Multiple Names

★ SDN and Blocked  
Persons List - Terrorist  
& Drug Trafficking

- ▶ Bureau of Industry  
and Security - BIS
- ▶ Denied Persons List
- ▶ Entry List

★ View Agency  
Contacts

- ★ Related Links
  - ▶ Debar Maintenance
  - ▶ Administration
  - ▶ Upload Login

★ FAQ

★ Reports Menu

- ▶ Lists Report
- ▶ Supplemental Report
- ▶ Agency Report
- ▶ Supplemental Agency  
Report
- ▶ State/Country Report
- ▶ Lists Data Report
- ▶ Supplemental Data  
Report
- ▶ Cause and  
Treatment Code

★ View Cause and  
Treatment Code  
Descriptions

- ▶ Reciprocal Codes
- ▶ Procurement Codes
- ▶ Nonprocurement Codes

★ Contact Information

- ▶ Email: support@epis.gov
- ▶ Phone: 1-866-GSA-EPLS  
(1-866-472-3757)

Search Results for Parties Excluded

by Partial Name : larmon, sally

As of 02-Sep-2004

No records were found matching this criteria

*Rechecked  
BIB 9/2/04*  
*Rechecked  
APN 9/29/04*





# EPLS

Excluded Parties Listing System



## ★ Search Menu - Current Exclusions

- ▶ Name
- ▶ Multiple Names
- ▶ DUNS
- ▶ Agency
- ▶ State/Country
- ▶ Action Dates
- ▶ Termination Dates
- ▶ Exact Name and SSN/TIN

## ★ Archive Menu - Past Exclusions

- ▶ Name
- ▶ Multiple Names

## ★ SON and Blocked Persons List - Terrorist & Drug Trafficking

- ▶ Bureau of Industry and Security - BIS
- ▶ Denied Persons List
- ▶ Entity List

## ★ View Agency Contacts

- ▶ Related Links
- ▶ Debar Maintenance
- ▶ Administration
- ▶ Upload Login

## ★ FAQ

## ★ Reports Menu

- ▶ Lists Report
- ▶ Supplemental Report
- ▶ Agency Report
- ▶ Supplemental Agency Report
- ▶ State/Country Report
- ▶ Lists Data Report
- ▶ Supplemental Data Report
- ▶ Cause and Treatment Code

## ★ View Cause and Treatment Code Descriptions

- ▶ Reciprocal Codes
- ▶ Procurement Codes
- ▶ Nonprocurement Codes

## ★ Contact Information

- ▶ Email: support@epls.gov
- ▶ Phone: 1-866-GSA-EPLS (1-866-472-3757)

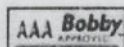
## Search Results for Parties Excluded

by Partial Name : moriarta, courtney

As of 02-Sep-2004

No records were found matching this criteria.

*Rechecked  
AKW 9/1/04*  
*Rechecked  
AKW 9/1/04*







★ Search Menu -  
Current Exclusions

- ▶ Name
- ▶ Multiple Names
- ▶ DUNS
- ▶ Agency
- ▶ State/Country
- ▶ Action Dates
- ▶ Termination Dates
- ▶ Exact Name and SSN/TIN

★ Archive Menu -  
Past Exclusions

- ▶ Name
- ▶ Multiple Names

★ SDN and Blocked  
Persons List - Terrorist  
& Drug Trafficking

★ Bureau of Industry  
and Security - BIS

- ▶ Denied Persons List
- ▶ Entity List

★ View Agency  
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- ▶ Supplemental Agency Report
- ▶ State/Country Report
- ▶ Lists Data Report
- ▶ Supplemental Data Report
- ▶ Cause and Treatment Code

★ View Cause and  
Treatment Code  
Descriptions

- ▶ Reciprocal Codes
- ▶ Procurement Codes
- ▶ Nonprocurement Codes

★ Contact Information

- ▶ Email: support@epls.gov
- ▶ Phone: 1-866-G2A-EPLS  
(1-866-472-3757)

**Search Results for Parties Excluded**

**by Partial Name : building  
performance institute, inc.**

**As of 02-Sep-2004**

No records were found matching this criteria.

*Reviewed  
9/5/04  
APN*

*Reviewed  
9/24/04  
APN*







UNITED STATES ENVIRONMENTAL PROTECTION AGENCY  
WASHINGTON, D.C. 20460

OFFICE OF AIR AND RADIATION

Climate Protection Partnership Division  
U.S. EPA 6202J  
Washington, DC 20460

SUBJECT: Clarification Statement Re: Competition for Building Performance  
Institute, XA831999010

TO: Asher Weinberg

FROM: David Lee, Branch Chief  
ENERGY STAR Residential Branch

DATE: September 7, 2004

This Agreement was selected from a Solicitation Posted in January 2004:  
OAR-CPPD-04-02 @ FedGrants.

X The Eligible Entities under this RFIP stated the solicitation was to a full range of Non-Profit  
Organizations, and therefore is considered full and open competition.

I am the Branch Chief for the ENERGY STAR Residential Branch and oversaw the staff who ran  
the grant competition, and participated in the selection. OAR, SRO, Beth Craig has approved this  
agreement. If further clarification is needed, please contact Katherine Moore, OAR (564-1514).

X This was Managed Comp.  
See GCA Concurrence memo 9/15/04.  
RPN



Lenee Morina/DC/USEPA/US  
09/08/2004 11:07 AM

To: Asher Weinberg/DC/USEPA/US@EPA  
cc: Pat Simon/DC/USEPA/US@EPA, Bruce  
Binder/DC/USEPA/US@EPA  
bcc:  
Subject: Building Performance Institute

X Asher, this e-mail serves as a follow-up to our conversation regarding the Building Performance Institute (XAB31999010) solicitation. In accordance with EPA Order 5700.5, solicitations that are not open to the complete eligible list of candidates per the CFDA are considered managed competition and require approval of the Grants Competition Advocate prior to advertising the announcement. Since the program office did not follow the appropriate procedures, the GCA will not sign a managed competition request after competition has been conducted. Furthermore, please code the solicitation in IGMS as a full and open competition. If you require additional assistance, please let me know.

Lenee Morina  
Program Analyst  
OGD, Grants Competition Advocate's Office  
202-564-5304 (p)  
202-565-2469 (f)

See 9/13 memo  
GCA concurrence  
This was Managed Comp.  
RPW 9/14/04